# 8/1 Lecture Agenda

- Announcements
- Part 6-1: Greedy Algorithms
- 10 minute break!
- Part 6-2: Spanning Trees

#### Announcements

- It's raining! In California! In August! Whaaaaat
- Pre-HW6 will be review and will (probably) include a small fun optional puzzle; it's coming out Wednesday
- HW6 will be completable entirely in Gradescope and will not involve much (if any) writing

# 8/1 Lecture Agenda

- Announcements
- Part 6-1: Greedy Algorithms
- 10 minute break!
- Part 6-2: Spanning Trees



#### Greed Is Good

Divide and Conquer Sorting & Randomization Data Structures Graph Search Dynamic Programming **Greed & Flow** 

**Special Topics** 

- Make choices one-at-a-time.
- Never look back.
- Hope for the best.

# Today

- Two examples of greedy algorithms that **do not** work:
  - Knapsack again
  - Indy's statue acquisition
- Three examples of greedy algorithms that **do work**:
  - Activity Selection
  - Job Scheduling
  - Huffman Coding (if time)

• Unbounded Knapsack.



- Unbounded Knapsack:
  - Suppose I have infinite copies of all of the items.
  - What's the most valuable way to fill the knapsack?



Total weight: 10 Total value: 42

"Greedy" algorithm for unbounded knapsack:

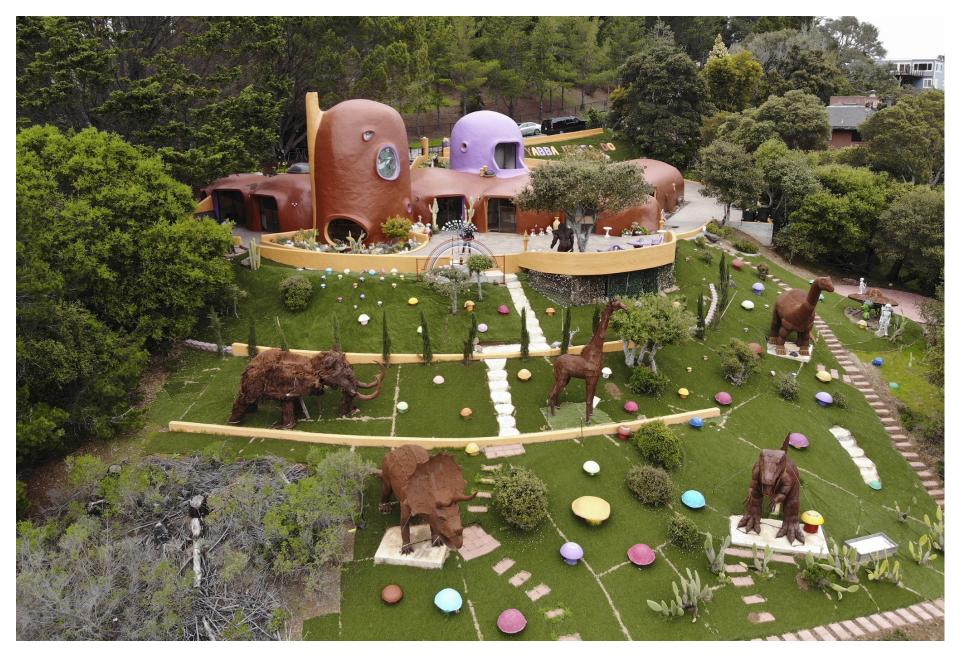
- Tacos have the best Value/Weight ratio!
- Keep grabbing tacos!



Total weight: 9 Total value: 39

- Indy wants to build some statues in his front yard in Hillsborough.
- He has a line of n spots where statues can be built, and each spot is worth a certain value.
- But the homeowners' association has decreed that he cannot build two statues in a row. Where should Indy put statues to maximize the total value?



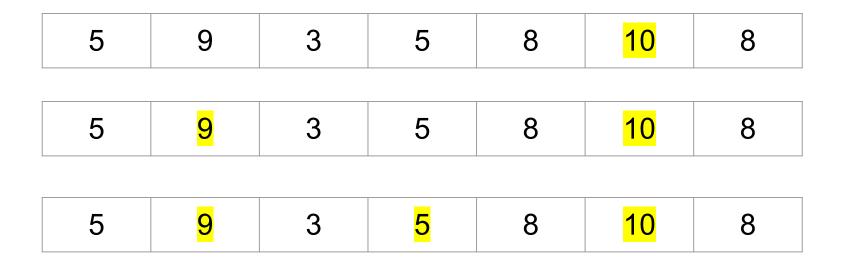


- Indy wants to build some statues in his front yard in Hillsborough.
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5	9	3	5	8	10	8	
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• Greedy strategy: keep choosing and building the highest-valued statue that is still legal to build.

• Greedy strategy: keep choosing and building the highest-valued statue that is still legal to build.



total value: 24

• But we could have done better!

5	<mark>9</mark>	3	5	<mark>8</mark>	10	<mark>8</mark>
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total value: 25

• What should we have done?

• What should we have done? DP would work...

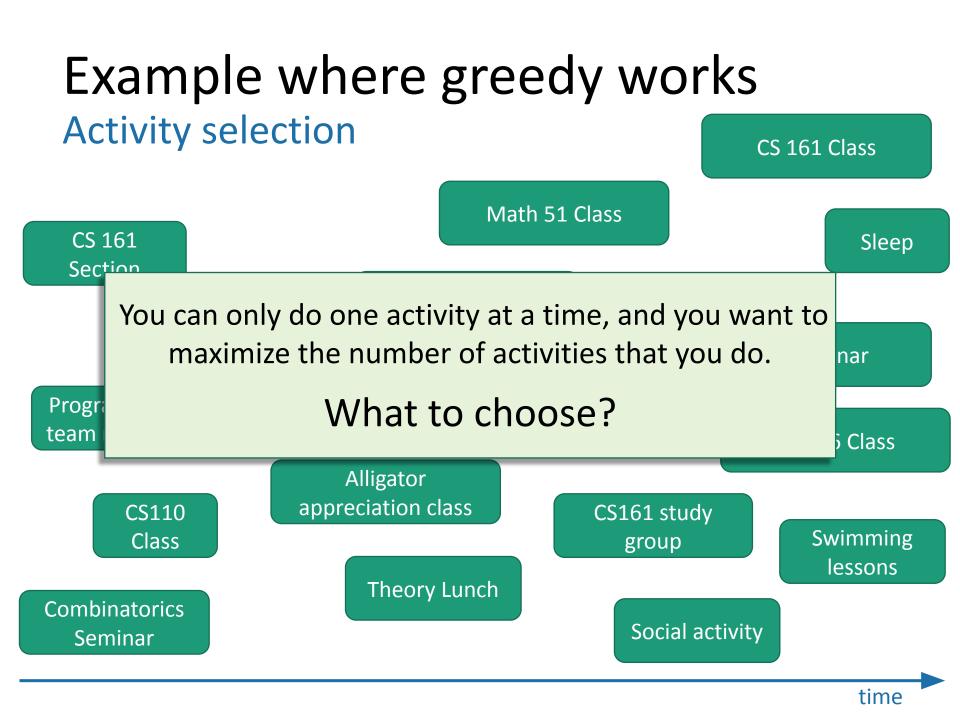


answer is: solve(0)

solve(0) = max(solve(1), // don't use this spot L[0] + solve(2)) // do use this spot

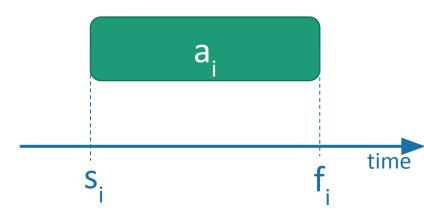
etc.

base cases: solve(n) = solve(n+1) = 0



# Activity selection

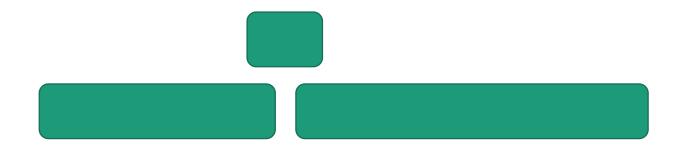
- Input:
  - Activities a<sub>1</sub>, a<sub>2</sub>, ..., a<sub>n</sub>
  - Start times s<sub>1</sub>, s<sub>2</sub>, ..., s<sub>n</sub>
  - Finish times  $\overline{f}_1, \overline{f}_2, \dots, \overline{f}_n$



- Output:
  - A way to maximize the **number** of activities you can do today.

In what order should you greedily add activities?

#### Shortest job first?

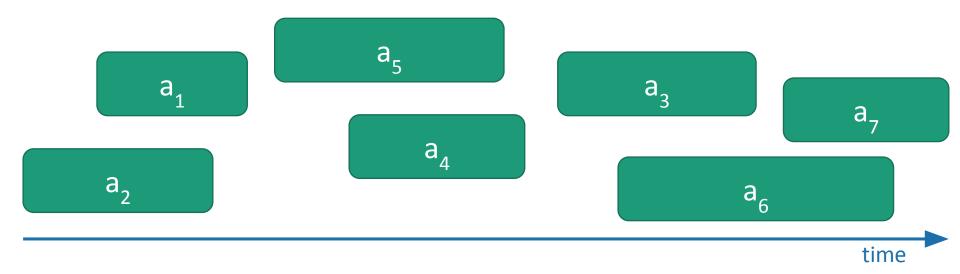


#### Earliest start time first?

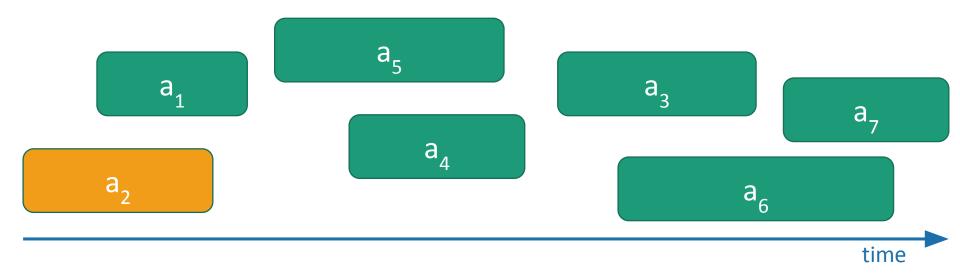


# Earliest ending time first?

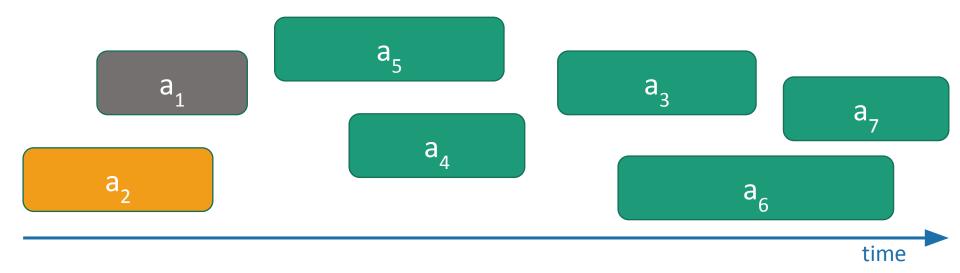
• This will do it!



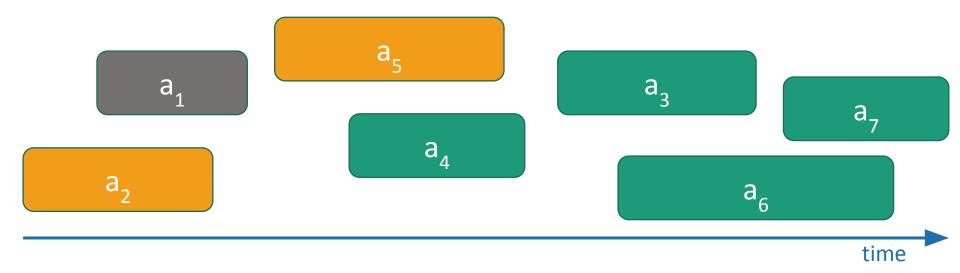
- Pick activity you can add with the smallest finish time.
- Repeat.



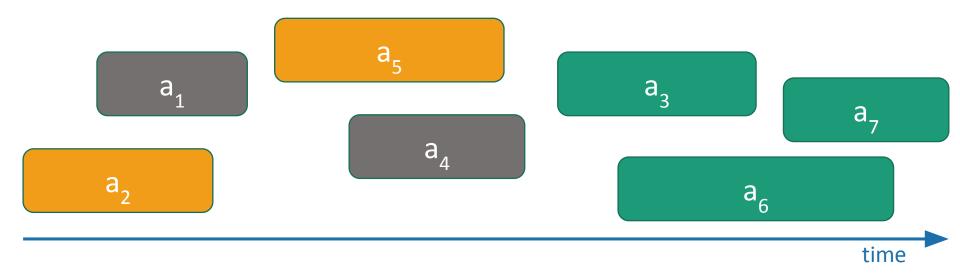
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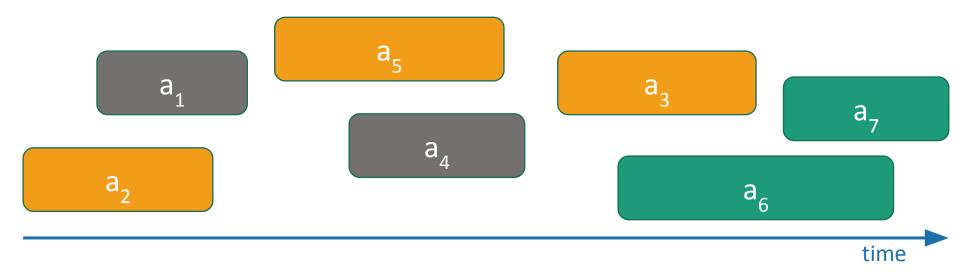
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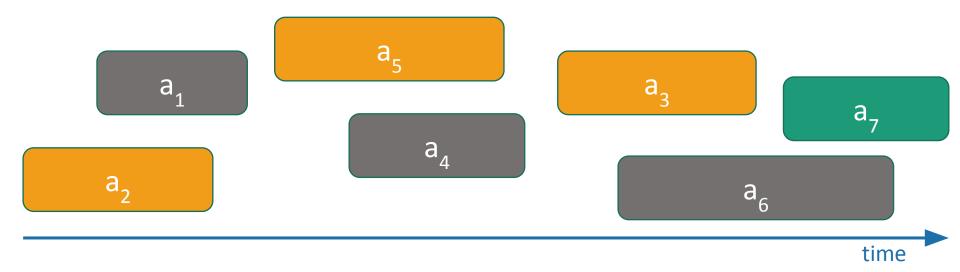
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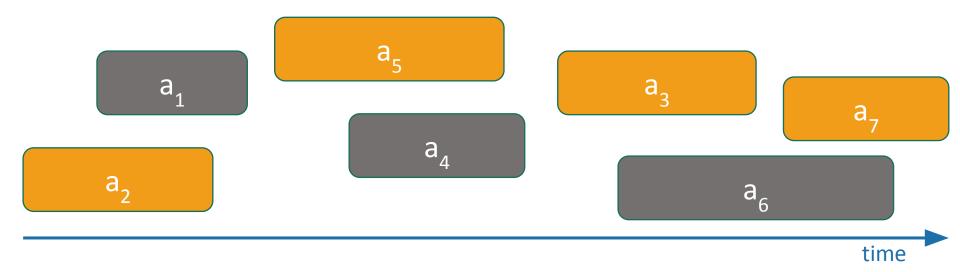
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- Repeat.



- Pick activity you can add with the smallest finish time.
- Repeat.



- Pick activity you can add with the smallest finish time.
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- Pick activity you can add with the smallest finish time.
- Repeat.

#### At least it's fast

- Running time:
  - O(n) if the activities are already sorted by finish time.
  - Otherwise O(nlog(n)) if you have to sort them first.

# What makes it greedy?

• At each step in the algorithm, make a choice.

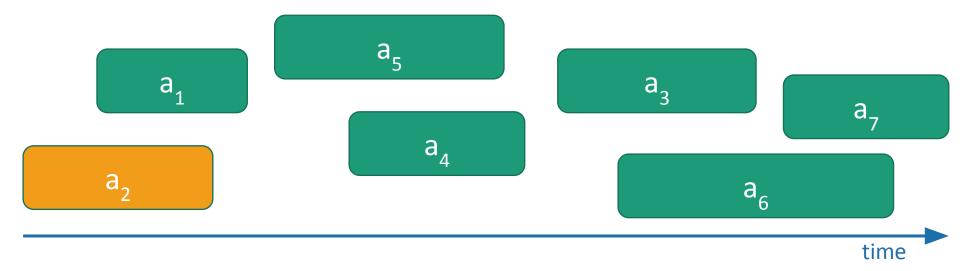
- Hey, I can increase my activity set by one,
- And leave lots of room for future choices,
- Let's do that and hope for the best!!!
- Hope that at the end of the day, this results in a globally optimal solution.



#### **Three Questions**

- 1. Does this greedy algorithm for activity selection work?
  - Yes. (We will see why in a moment...)
- 2. In general, when are greedy algorithms a good idea?
  - When the problem exhibits especially nice optimal substructure.
- 3. The "greedy" approach is often the first you'd think of...
  - Why are we getting to it now, in Week 7?
    - Proving that greedy algorithms work is often not so easy...

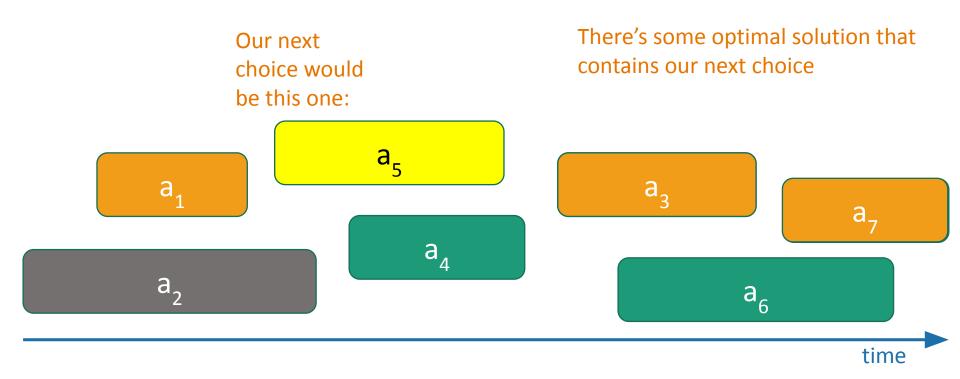
#### **Back to Activity Selection**



- Pick activity you can add with the smallest finish time.
- Repeat.

# Why does it work?

• Whenever we make a choice, we don't rule out an optimal solution.

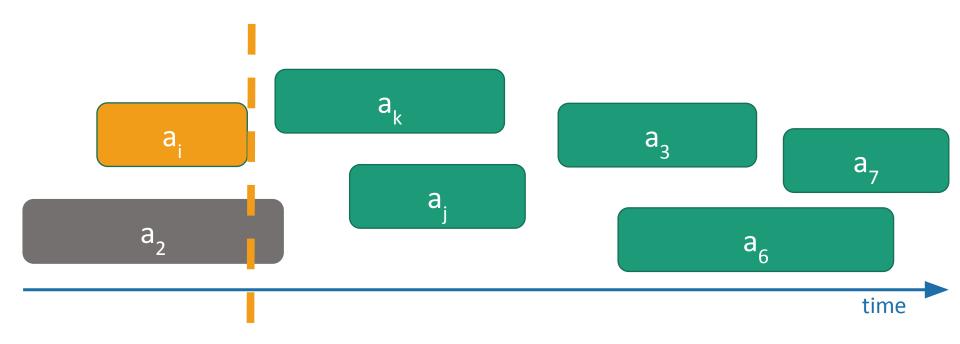


#### Assuming that statement...

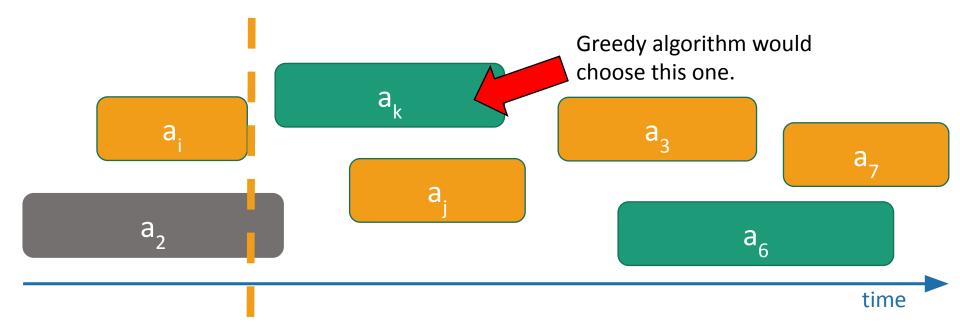
- We never rule out an optimal solution
- At the end of the algorithm, we've got some solution.
- So it must be optimal.

#### We never rule out an optimal solution

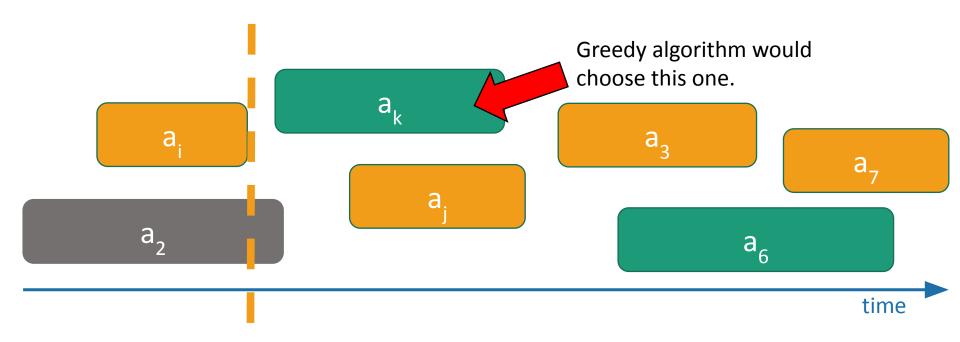
 Suppose we've already chosen a<sub>i</sub>, and there is still an optimal solution T\* that extends our choices.



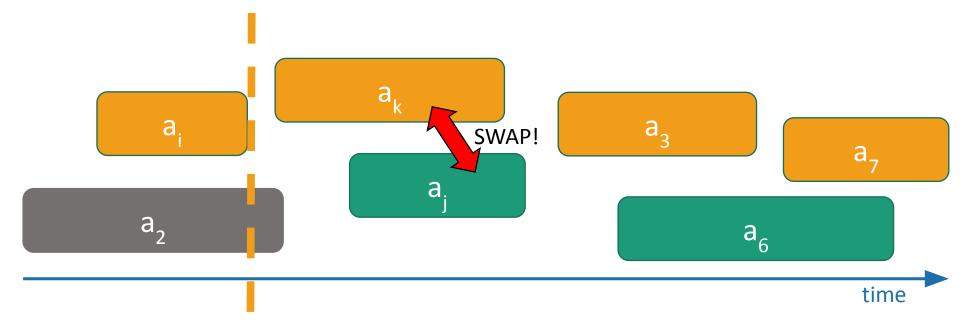
- Suppose we've already chosen a<sub>i</sub>, and there is still an optimal solution T\* that extends our choices.
- Now consider the next choice we make, say it's  $a_{k}$ .
- If a<sub>k</sub> is in T\*, we're still on track.



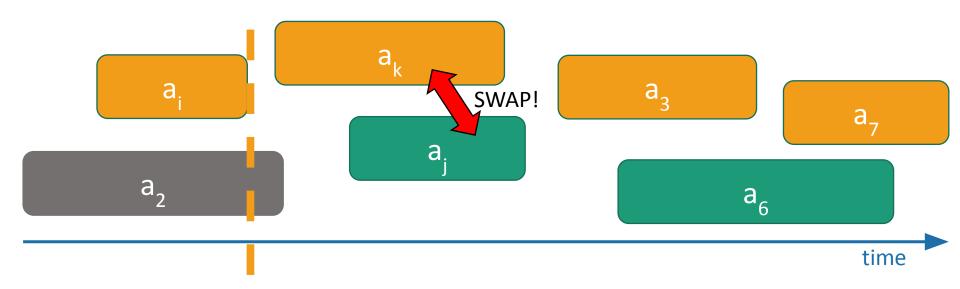
- Suppose we've already chosen a<sub>i</sub>, and there is still an optimal solution T\* that extends our choices.
- Now consider the next choice we make, say it's  $a_k$ .
- If  $a_k$  is **not** in  $T^*$ ...



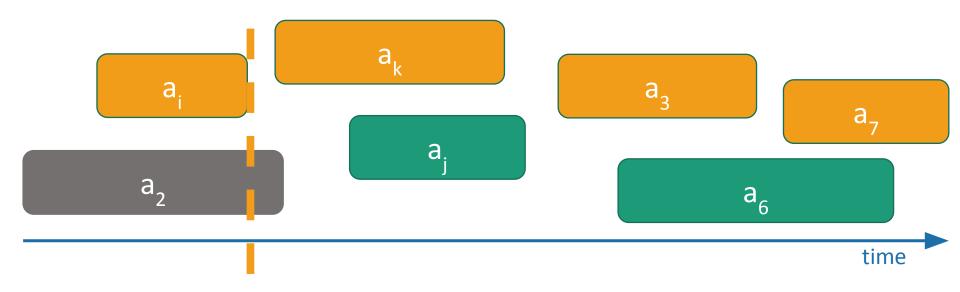
- If  $a_k$  is **not** in T\*...
- Let a<sub>i</sub> be the activity in T\* (after a<sub>i</sub> ends) with the smallest end time.
- Now consider schedule T you get by swapping a<sub>i</sub> for a<sub>k</sub>



- This schedule T is still allowed.
  - Since a<sub>k</sub> has the smallest ending time, it ends before a<sub>i</sub>.
  - Thus, a<sub>k</sub> doesn't conflict with anything chosen after a<sub>i</sub>.
- And, T is still optimal.
  - It has the same number of activities as T\*.

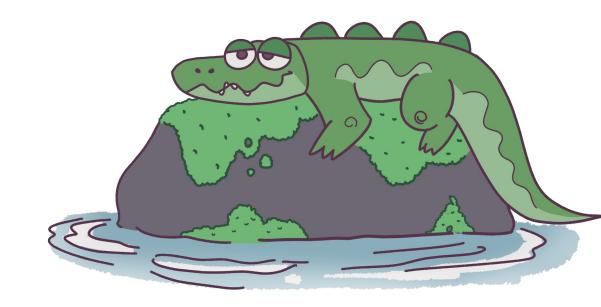


- We've just shown:
  - If there was an optimal solution that extends the choices we made so far...
  - ...then there is an optimal schedule that also contains our next greedy choice a<sub>k</sub>.



# So the algorithm is correct

- We never rule out an optimal solution
- At the end of the algorithm, we've got some solution.
- So it must be optimal.



# So the algorithm is correct

- Inductive Hypothesis:
  - After adding the t'th thing, there is an optimal solution that extends the current solution.
- Base case:
  - After adding zero activities, there is an optimal solution extending that.
- Inductive step:
  - We just did that!
- Conclusion:
  - After adding the last activity, there is an optimal solution that extends the current solution.
  - The current solution is the only solution that extends the current solution.
  - So the current solution is optimal.

# **Three Questions**

- Does this greedy algorithm for activity selection work?
   Yes.
- 2. In general, when are greedy algorithms a good idea?
  - When the problem exhibits especially nice optimal substructure.
- 3. The "greedy" approach is often the first you'd think of...
  - Why are we getting to it now, in Week 7?
    - Proving that greedy algorithms work is often not so easy...

#### One Common strategy for greedy algorithms

- Make a series of choices.
- Show that, at each step, our choice **won't rule out an optimal solution** at the end of the day.
- After we've made all our choices, we haven't ruled out an optimal solution, so we must have found one.

#### One Common strategy (formally) for greedy algorithms

• Inductive Hypothesis:

"Success" here means "finding an optimal solution."

- After greedy choice t, you haven't ruled out success.
- Base case:
  - Success is possible before you make any choices.
- Inductive step:
  - If you haven't ruled out success after choice t, then you won't rule out success after choice t+1.
- Conclusion:
  - If you reach the end of the algorithm and haven't ruled out success then you must have succeeded.

# One Common strategy

for showing we don't rule out success

- Suppose that you're on track to make an optimal solution T\*.
  - Eg, after you've picked activity i, you're still on track.
- Suppose that T\* *disagrees* with your next greedy choice.
  - Eg, it *doesn't* involve activity k.
- Manipulate T\* in order to make a solution T that's not worse but that *agrees* with your greedy choice.
  - Eg, swap whatever activity T\* did pick next with activity k.

# Note on "Common Strategy"

- This common strategy is not the only way to prove that greedy algorithms are correct!
  - In particular, Algorithms Illuminated has several different types of proofs.
- I'm emphasizing it in lecture because it often works, and it gives you a framework to get started.

# **Three Questions**

- Does this greedy algorithm for activity selection work?
   Yes.
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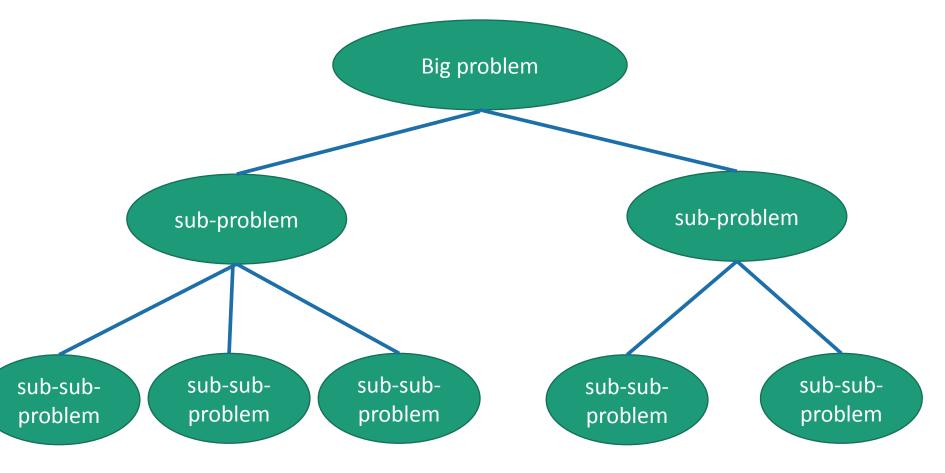


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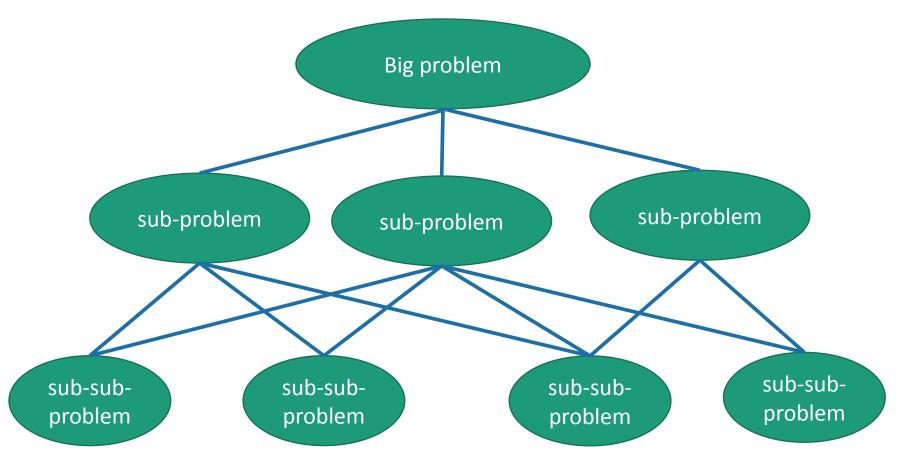
#### Optimal sub-structure in greedy algorithms

- Our greedy activity selection algorithm exploited a natural sub-problem structure:
   A[i] = number of activities you can do after the end of activity i
- How does this substructure relate to that of divide-and-conquer or DP? A[i] = solution tothis sub-problem  $a_i$   $a_k$   $a_3$   $a_7$   $a_7$   $a_6$   $a_7$   $a_6$  time

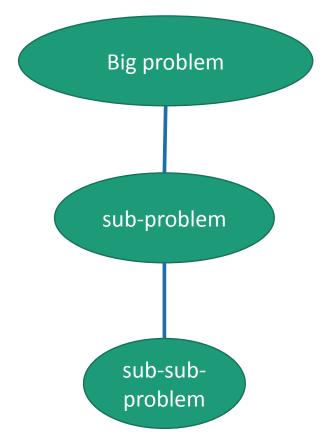
• Divide-and-conquer:



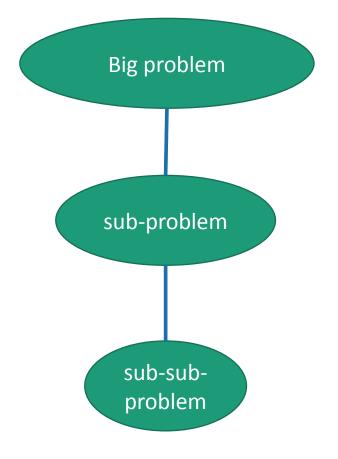
• Dynamic Programming:



• Greedy algorithms:



#### • Greedy algorithms:



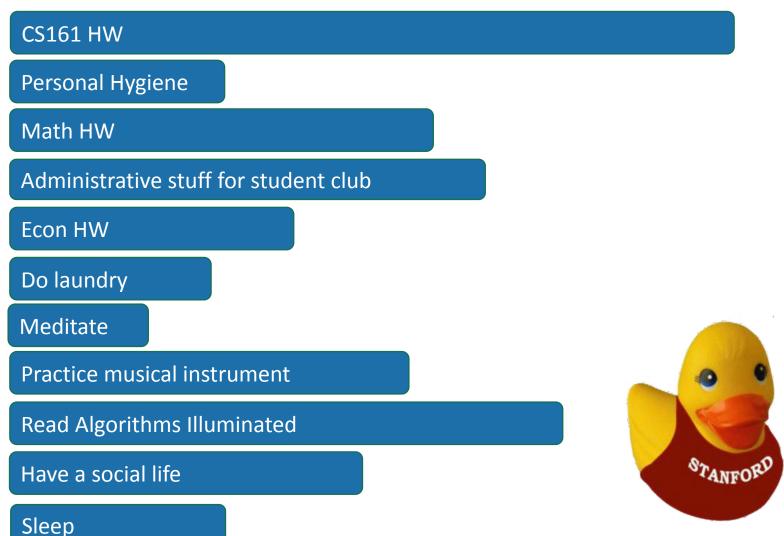
- Not only is there **optimal sub-structure**:
  - optimal solutions to a problem are made up from optimal solutions of sub-problems
- but each problem depends on only one sub-problem.

# **Three Questions**

- Does this greedy algorithm for activity selection work?
   Yes.
- 2. In general, when are greedy algorithms a good idea?
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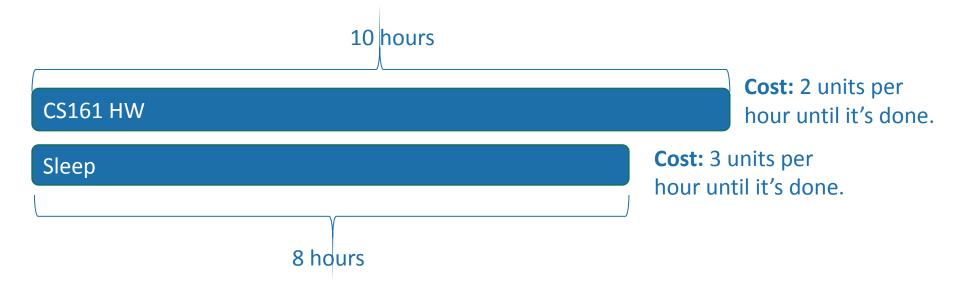
### Let's see a few more examples

### Another example: Scheduling



# Scheduling

- n tasks
- Task i takes t<sub>i</sub> hours
- For every hour that passes until task i is done, pay c<sub>i</sub>



- CS161 HW, then Sleep: costs 10 · 2 + (10 + 8) · 3 = 74 units
- Sleep, then CS161 HW: costs 8 · 3 + (10 + 8) · 2 = 60 units

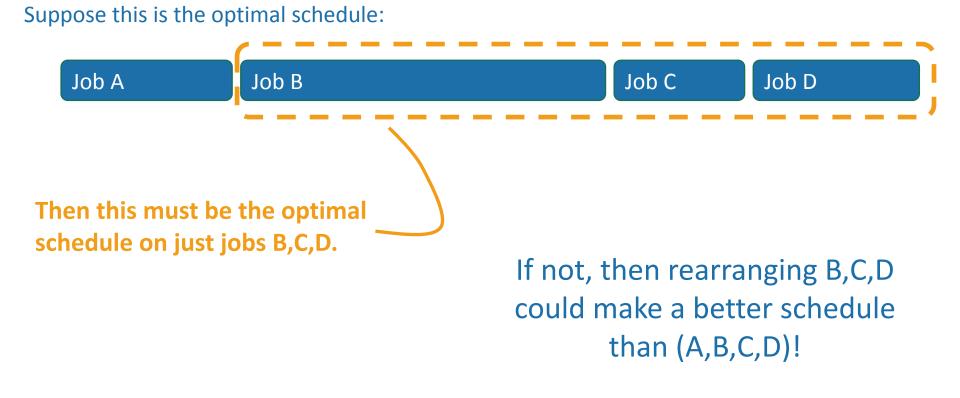
### **Optimal substructure**

• This problem breaks up nicely into sub-problems:



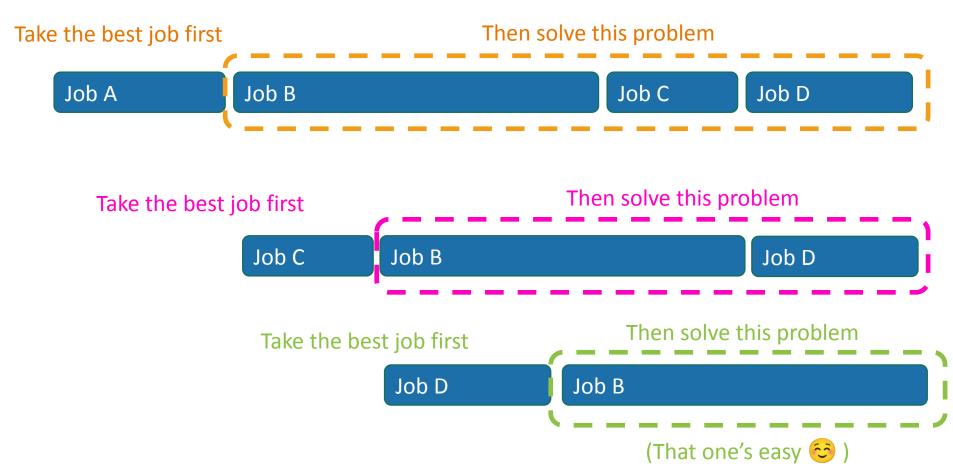
### **Optimal substructure**

• This problem breaks up nicely into sub-problems:



# **Optimal substructure**

• Seems amenable to a greedy algorithm:

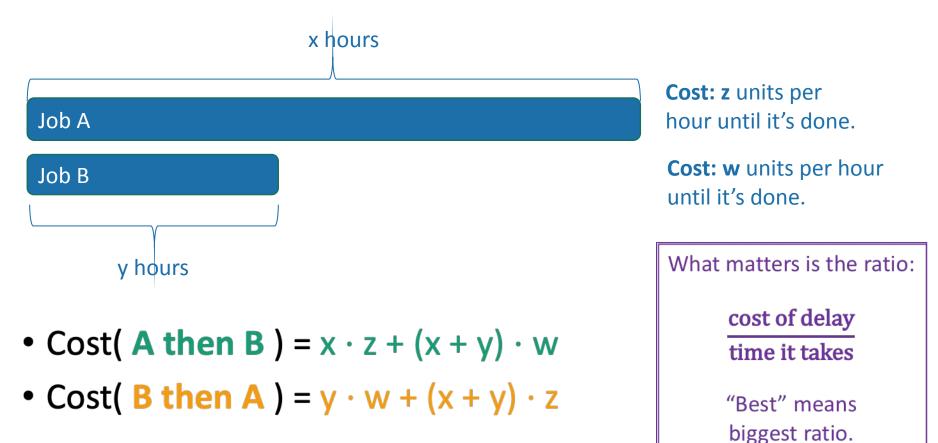


# What does "best" mean?

Note: here we are defining x,y,z, and w. (We use  $c_i$  and  $t_i$  for these in the general problem, but we are changing notation for just this thought experiment to save on subscripts.)

AB is better than BA when:  $xz + (x + y)w \le yw + (x + y)z$   $xz + xw + yw \le yw + xz + yz$   $wx \le yz$   $\frac{w}{v} \le \frac{z}{x}$ 

• Of these two jobs, which should we do first?



# Idea for greedy algorithm

• Choose the job with the biggest  $\frac{\text{cost of delay}}{\text{time it takes}}$  ratio.

#### Lemma This greedy choice doesn't rule out success

• Suppose you have already chosen some jobs, and haven't yet ruled out success:





- Then if you choose the next job to be the one left that maximizes the ratio **cost/time**, you still won't rule out success.
- Proof sketch:
  - Say Job B maximizes this ratio, but it's not the next job in the opt. soln.

How can we manipulate the optimal solution above to make an optimal solution where B is the next job we choose after E?

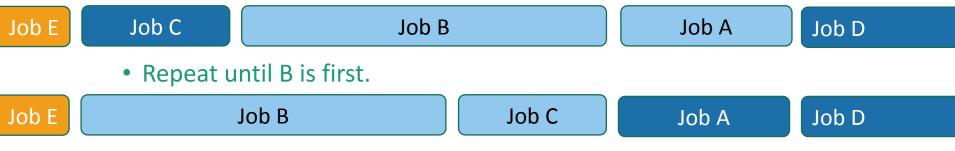
#### Lemma This greedy choice doesn't rule out success

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- Then if you choose the next job to be the one left that maximizes the ratio **cost/time**, you still won't rule out success.
- Proof sketch:
  - Say Job B maximizes this ratio, but it's not the next job in the opt. soln.
  - Switch A and B! Nothing else will change, and we just showed that the cost of the solution won't increase.



• Now this is an optimal schedule where B is first.

# Back to our framework for proving correctness of greedy algorithms

- Inductive Hypothesis:
  - After greedy choice t, you haven't ruled out success.
- Base case:
  - Success is possible before you make any choices.
- Inductive step:
  - If you haven't ruled out success after choice t, then you won't rule out success after choice t+1.
- Conclusion:
  - If you reach the end of the algorithm and haven't ruled out success then you must have succeeded.
- Fill in the details!

Just did the

inductive step!

# **Greedy Scheduling Solution**

#### • scheduleJobs( JOBS ):

Sort JOBS in decreasing order by the ratio:

•  $r_i = \frac{c_i}{t_i} = \frac{\text{cost of delaying job i}}{\text{time job i takes to complete}}$ 

- Return JOBS

Running time: O(nlog(n))

## What have we learned?

- A greedy algorithm works for scheduling
- This followed the same outline as the previous example:
  Identify optimal substructure:



- Find a way to make choices that **won't rule out an optimal solution.** 
  - largest cost/time ratios first.

#### One more example Huffman coding

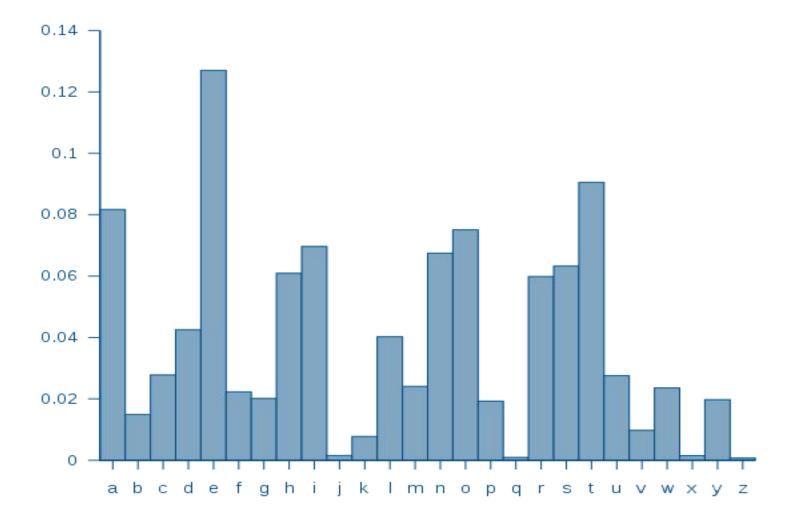
- everyday english sentence
- •qwertyui\_opasdfg+hjklzxcv

#### One more example Huffman coding

ASCII is pretty wasteful for English sentences. If **e** shows up so often, we should have a more parsimonious way of representing it!

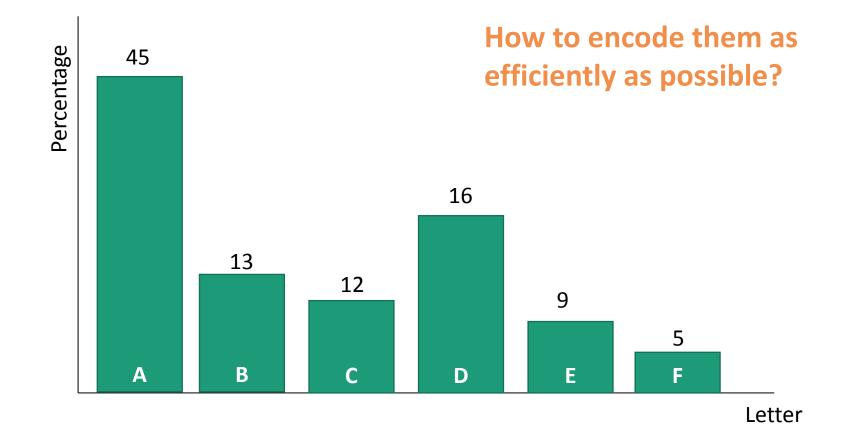
- everyday english sentence
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# Suppose we have some distribution on characters



# Suppose we have some distribution on characters

For simplicity, let's go with this made-up example



#### Try 0 (like ASCII)

000

Percentage 45 representing A. 16 13 12 9 Α В С Ε D

001

010

011

Every letter is assigned a **binary string** of three bits.

#### Wasteful!

- 110 and 111 are never used.
- We should have a shorter way of

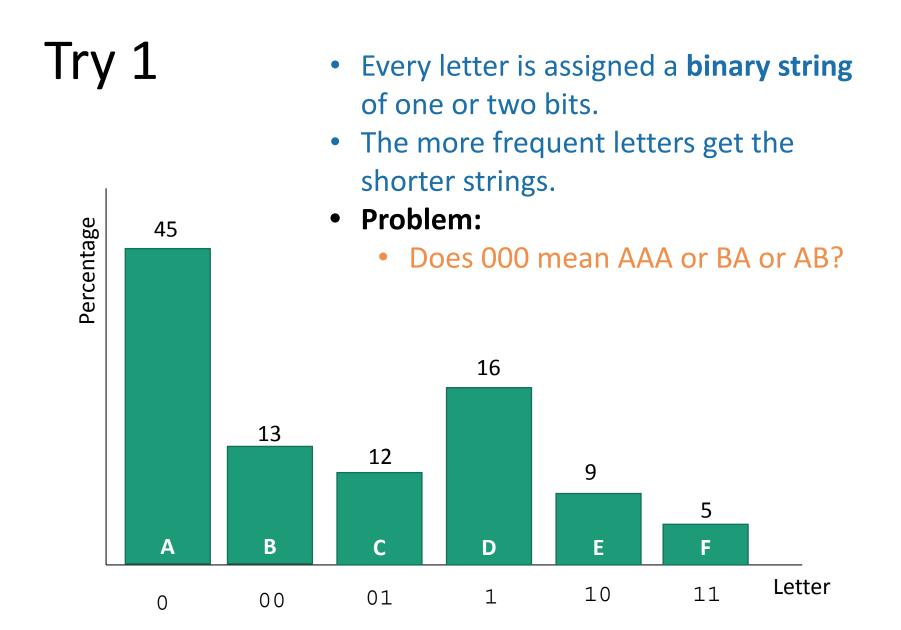
100

5

F

101

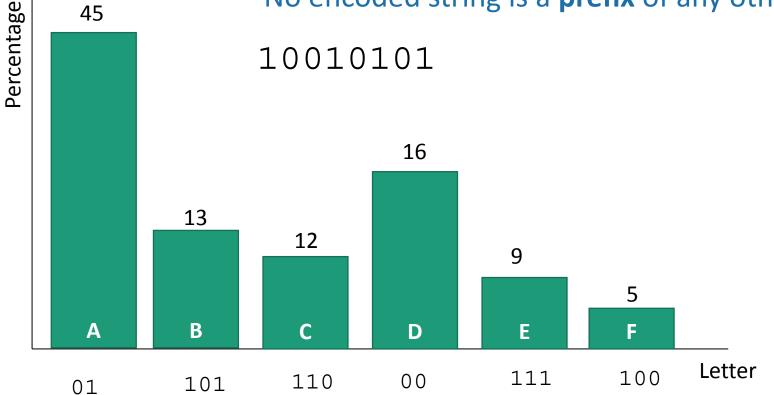
Letter



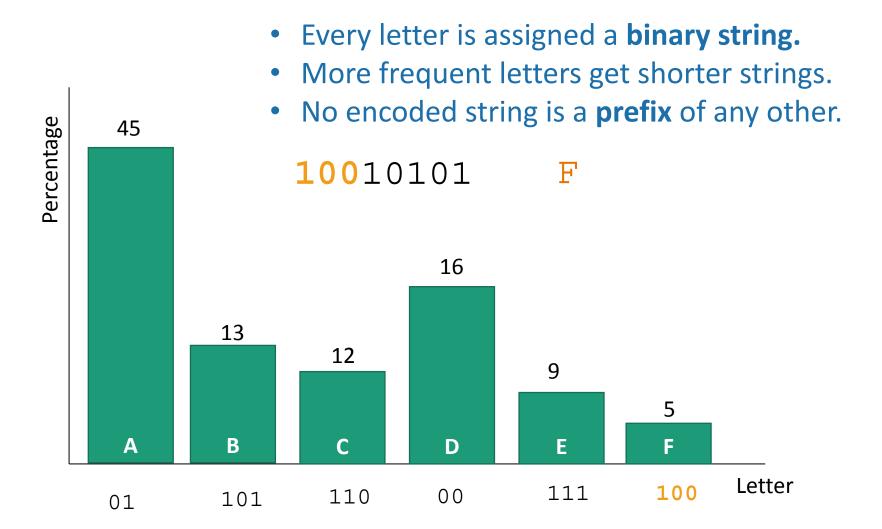
Confusingly, "prefix-free codes" are also sometimes called "prefix codes" (e.g. in CLRS).



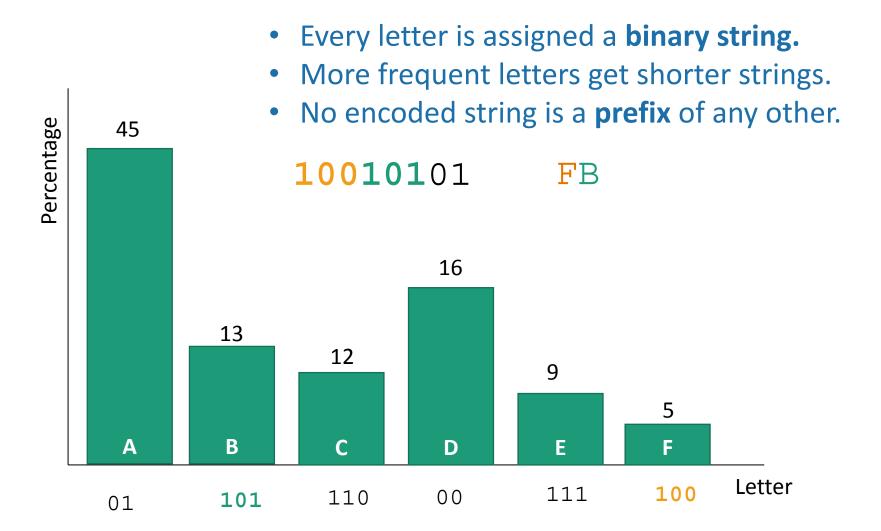
- More frequent letters get shorter strings.
- No encoded string is a **prefix** of any other.



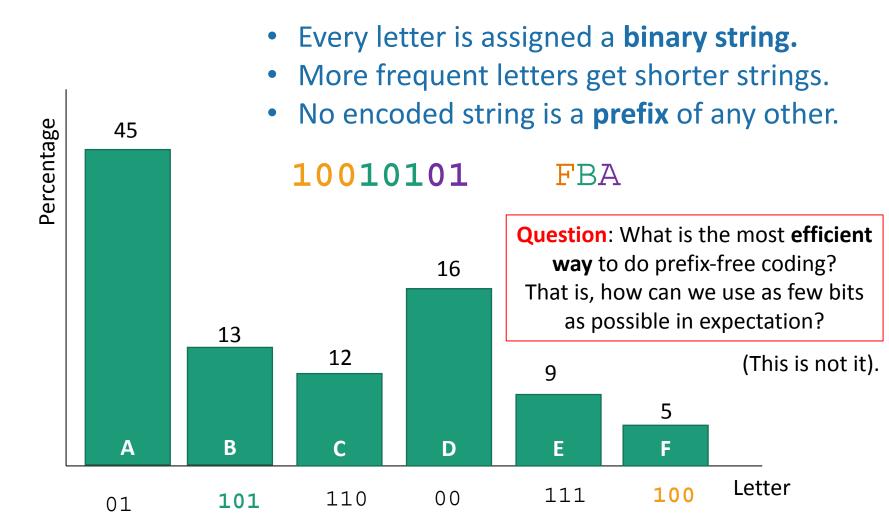
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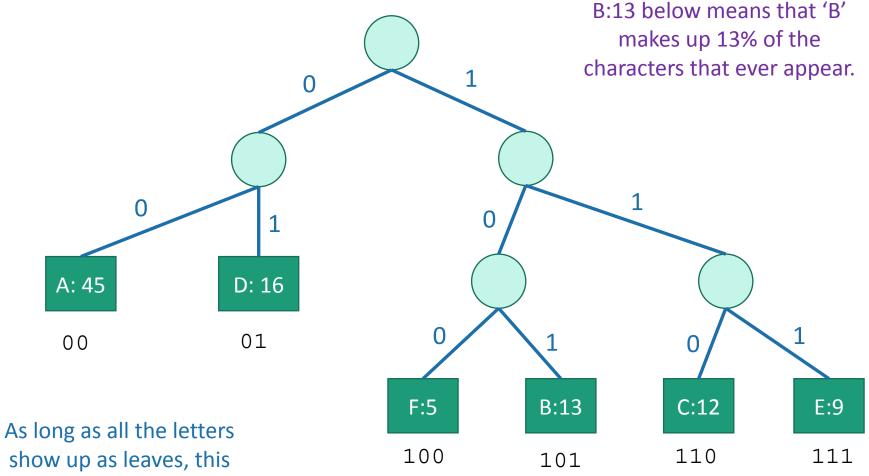
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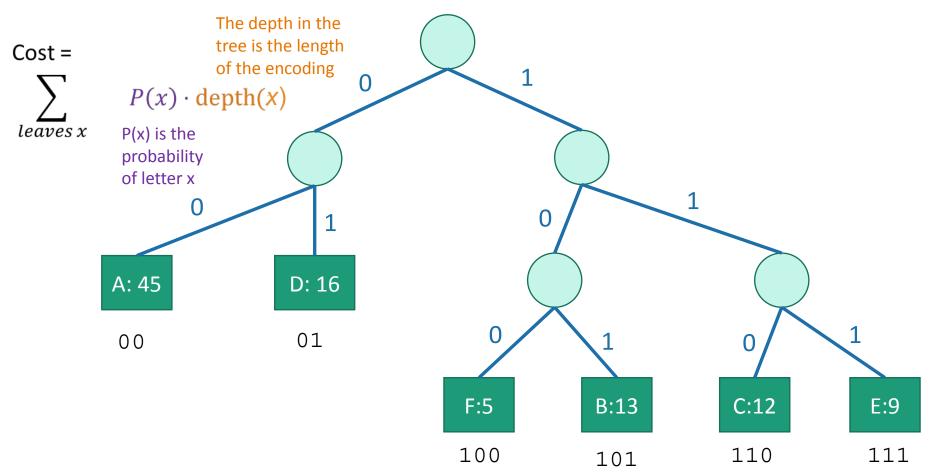
#### A prefix-free code is a tree



show up as leaves, this code is **prefix-free**.

#### How good is a tree?

- Imagine choosing a letter at random from the language.
  - Not uniform, but according to our histogram!
- The **cost of a tree** is the expected length of the encoding of a random letter.



Expected cost of encoding a letter with this tree:

2(0.45 + 0.16) + 3(0.05 + 0.13 + 0.12 + 0.09) = 2.39

#### Question

• Given a distribution *P* on letters, find the lowest-cost tree, where

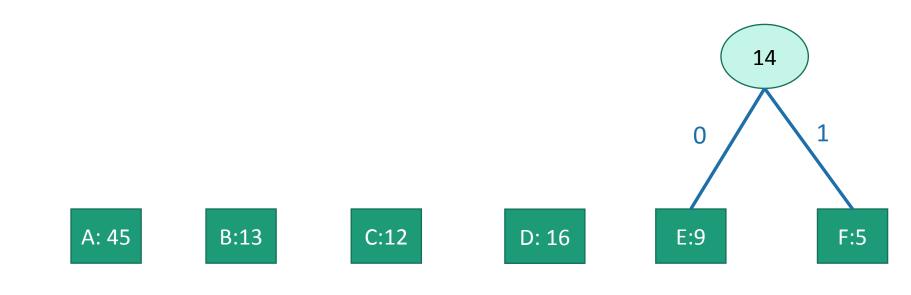
$$cost(tree) = \sum_{leaves x} P(x) \cdot depth(x)$$

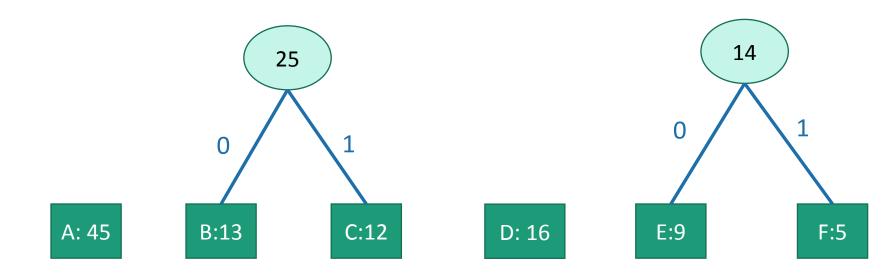
$$P(x) = P(x) = P(x) \cdot depth(x)$$

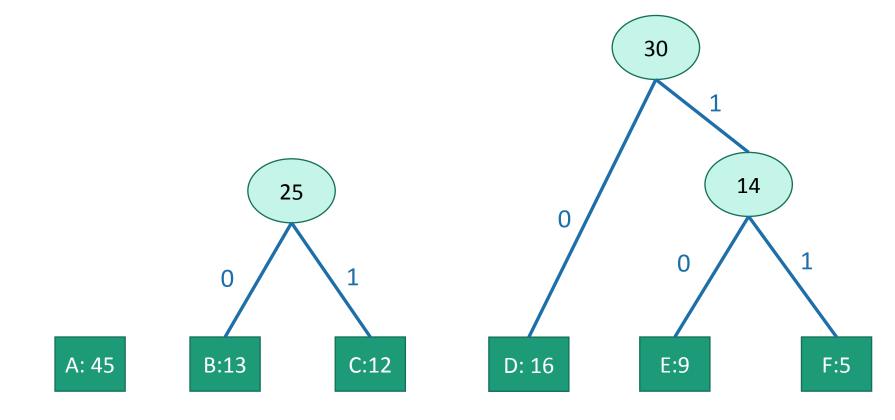
$$P(x) = P(x) = P(x) + e^{p(x)} +$$

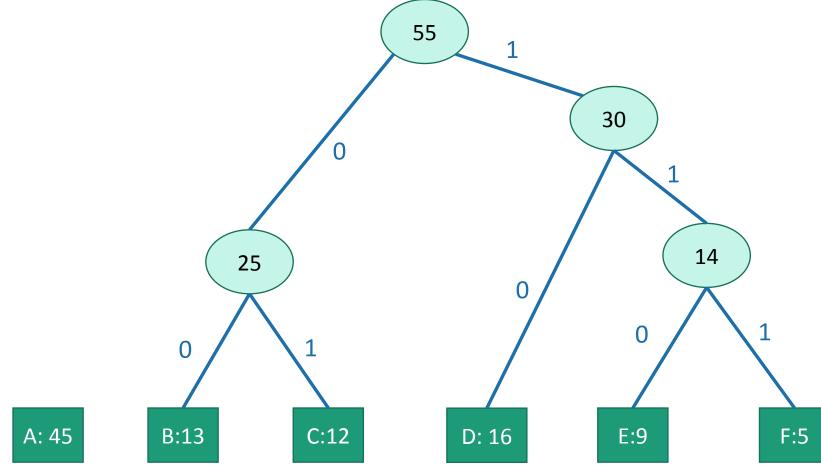
### Greedy algorithm

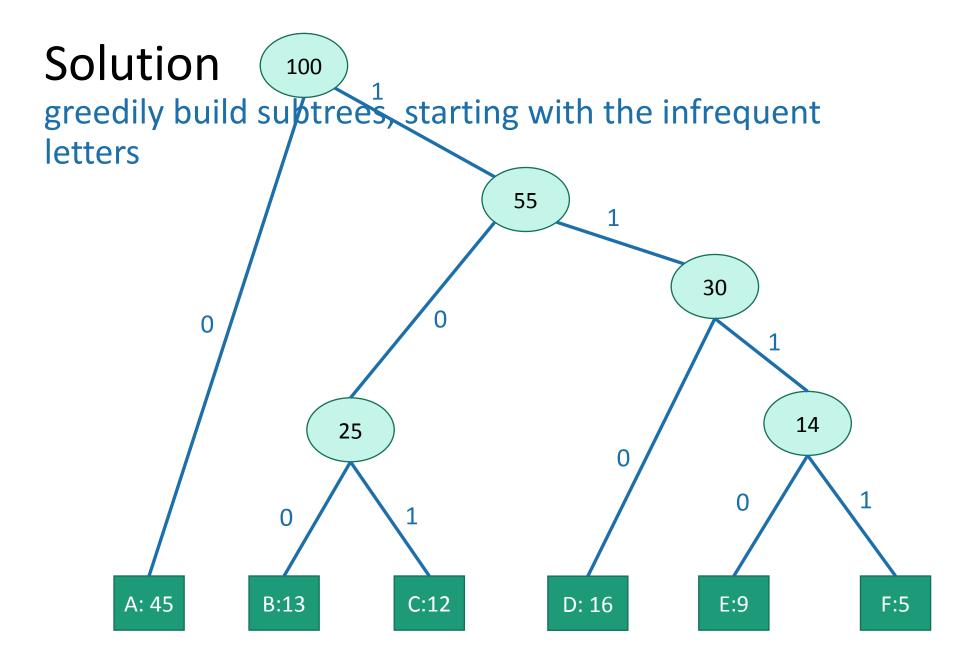
- Greedily build sub-trees from the bottom up.
- Greedy goal: less frequent letters should be further down the tree.



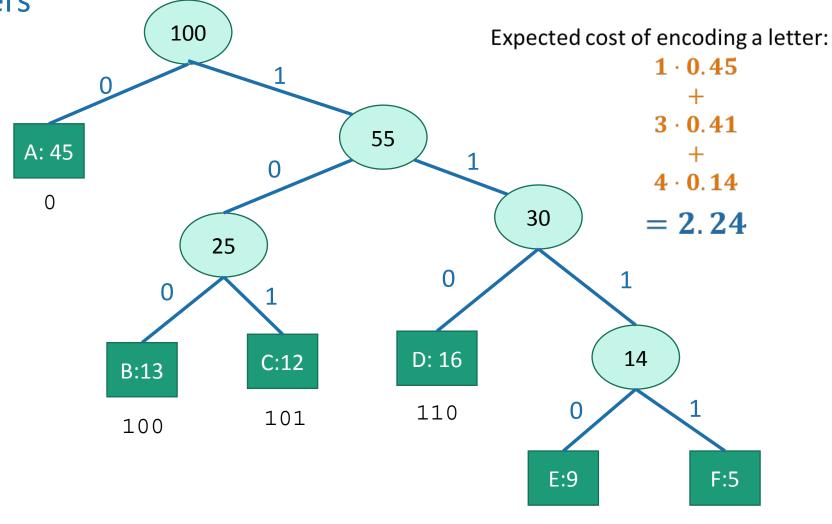








greedily build subtrees, starting with the infrequent letters



1110 1111

### What exactly was the algorithm?

- Create a node like D: 16 for each letter/frequency
   The key is the frequency (16 in this case)
- Let **CURRENT** be the list of all these nodes.
- while len(CURRENT) > 1:
  - X and Y ← the nodes in CURRENT with the smallest keys.

D: 16

Create a new node Z with Z.key = X.key + Y.key

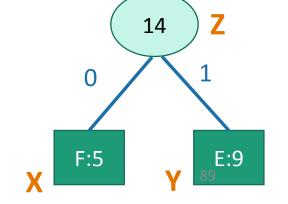
C:12

• Set Z.left = X, Z.right = Y

B:13

- Add Z to CURRENT and remove X and Y
- return CURRENT[0]

A: 45



### This is called Huffman Coding:

- Create a node like
   The key is the frequency (16 in this case)
- Let **CURRENT** be the list of all these nodes.
- while len(CURRENT) > 1:
  - X and Y ← the nodes in CURRENT with the smallest keys.

D: 16

Create a new node Z with Z.key = X.key + Y.key

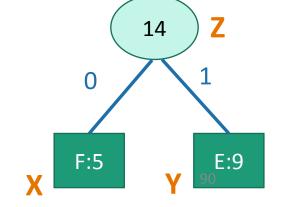
C:12

• Set Z.left = X, Z.right = Y

**B:13** 

- Add Z to CURRENT and remove X and Y
- return CURRENT[0]

A: 45



#### Does it work?

- Yes.
- We will *sketch* a proof here.

B:13

- Same strategy:
  - Show that at each step, the choices we are making won't rule out an optimal solution.

C:12

• Lemma:

A: 45

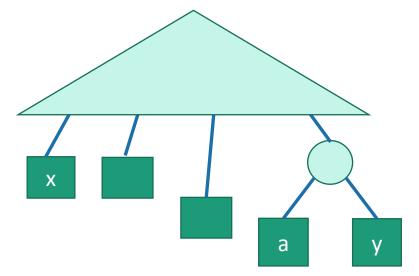
• Suppose that x and y are the two least-frequent letters. Then there is an optimal tree where x and y are siblings.

14 0 1 D: 16 E:9 F:5

#### Lemma proof idea

If x and y are the two least-frequent letters, there is an optimal tree where x and y are siblings.

• Say that an optimal tree looks like this:



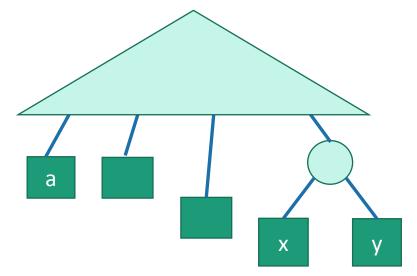
Lowest-level sibling nodes: at least one of them is neither x nor y

- What happens to the cost if we swap x for a?
  - the cost can't increase; a was more frequent than x, and we just made a's encoding shorter and x's longer.
- Repeat this logic until we get an optimal tree with x and y as siblings.
  - The cost never increased so this tree is still optimal.

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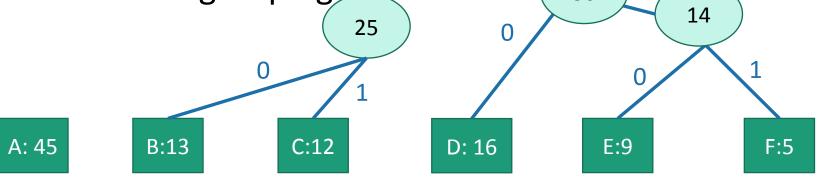
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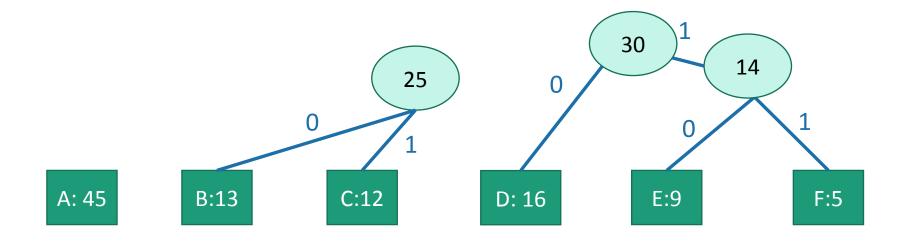
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- Lemma:
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- That's enough to show that we don't rule out optimality on the first step.



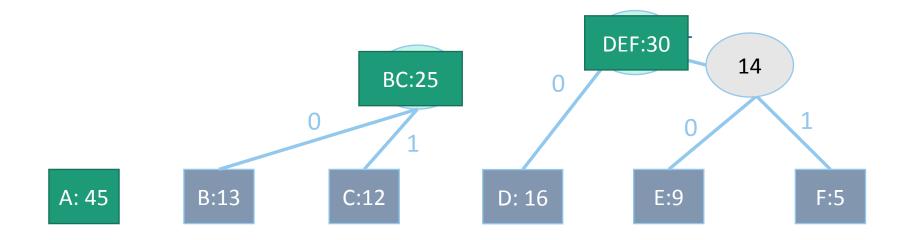
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- To show that continue to not rule out optimality once we start grouping stuff... 30<sup>1</sup>



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- The basic idea is that we can treat the "groups" as leaves in a new alphabet.



- To show that continue to not rule out optimality once we start grouping stuff...
- The basic idea is that we can treat the "groups" as leaves in a new alphabet.
- Then we can use the lemma from before.



#### For a full proof

- See Ch. 14.4 of Algorithms Illuminated!
  - Note that the proofs in AI don't explicitly follow the "never rule out success" recipe. That's fine, there are lots of correct ways to prove things!

#### What have we learned?

- ASCII isn't an optimal way to encode English, since the distribution on letters isn't uniform.
- Huffman Coding is an optimal way!
- To come up with an optimal scheme for any language efficiently, we can use a greedy algorithm.
- To come up with a greedy algorithm:
  - Identify optimal substructure
  - Find a way to make choices that won't rule out an optimal solution.
    - Create subtrees out of the smallest two current subtrees.

# Recap



- Greedy algorithms!
- Often easy to write down
  - But may be hard to come up with and hard to justify
- The natural greedy algorithm may not always be correct.
- A problem is a good candidate for a greedy algorithm if:
  - it has optimal substructure
  - that optimal substructure is **REALLY NICE** 
    - solutions depend on just one other sub-problem.

# 8/1 Lecture Agenda

- Announcements
- Part 6-1: Greedy Algorithms
- 10 minute break!
- Part 6-2: Spanning Trees

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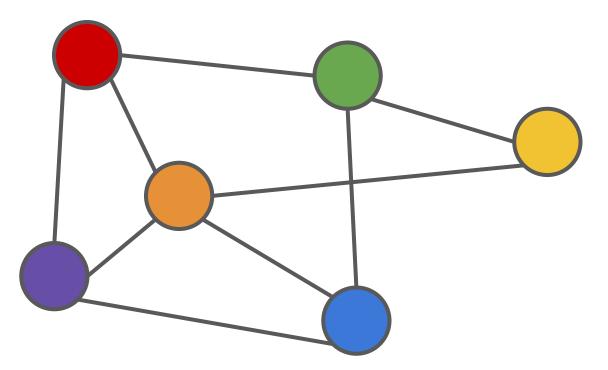


#### Spanning Trees

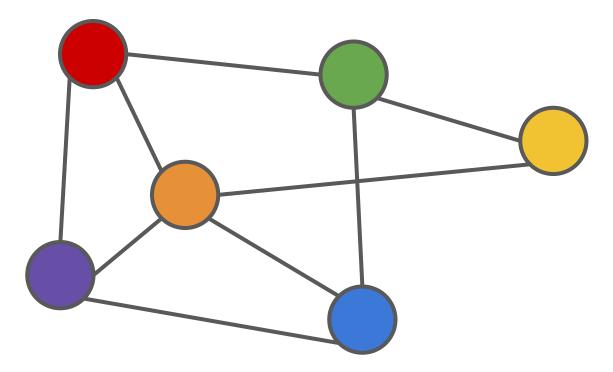
Divide and Conquer Sorting & Randomization Data Structures Graph Search Dynamic Programming **Greed & Flow** 

**Special Topics** 

# Suppose we have an undirected graph.

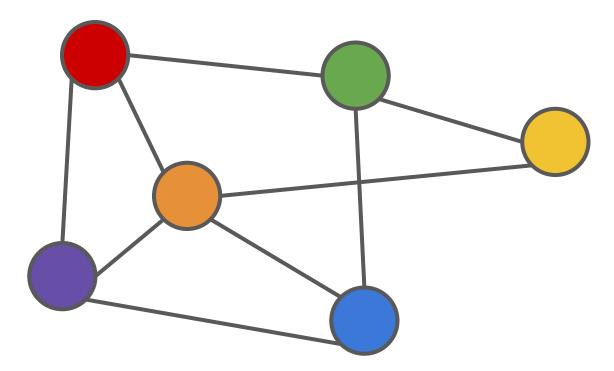


How can we delete (the fewest) edges to form a tree?

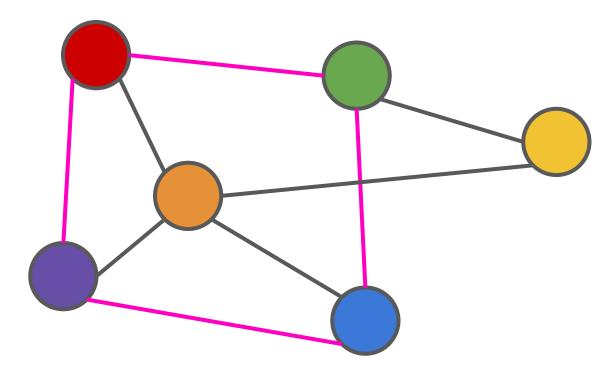


Is it safe to just keep finding cycles and deleting edges from them?

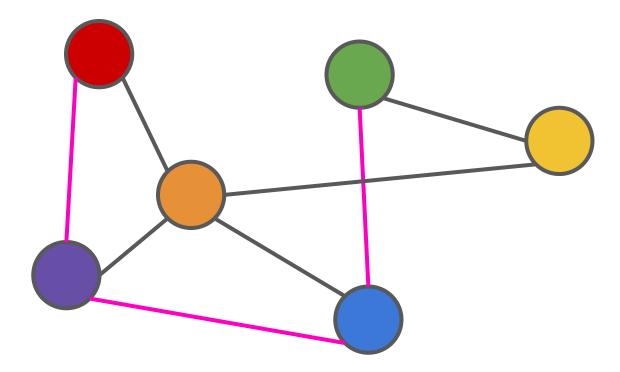
Didn't we get burned by this on HW4?



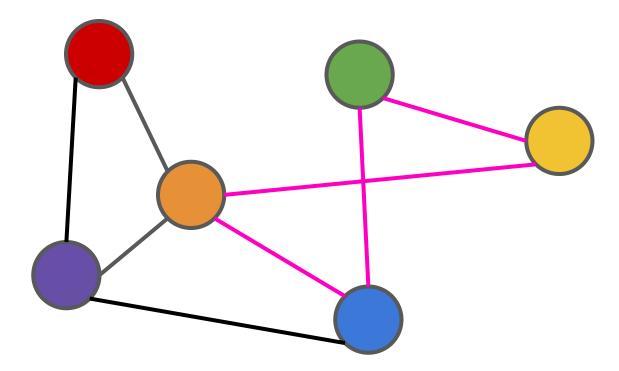
- Recall: a tree is just a connected graph with n-1 edges.
- Here we have 6 vertices and 9 edges. So we can just remove four, in a way that does not disconnect the graph.



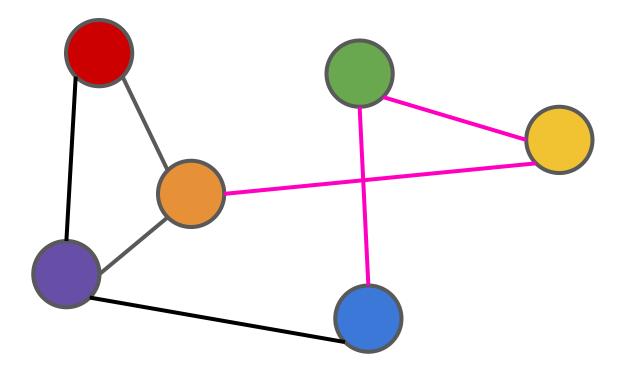
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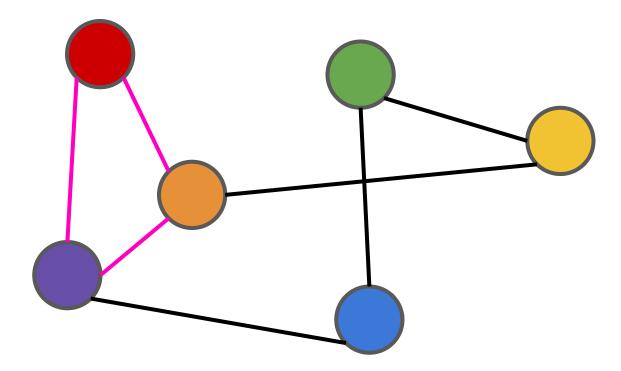
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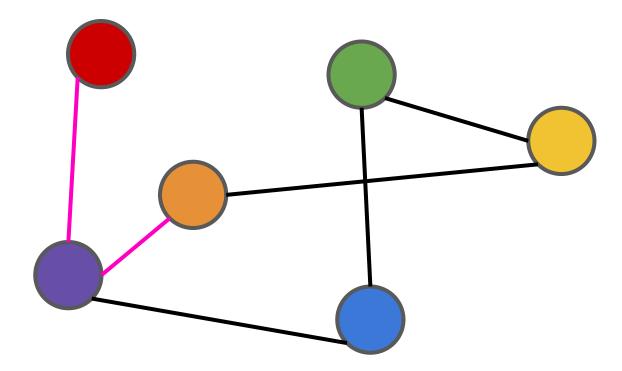
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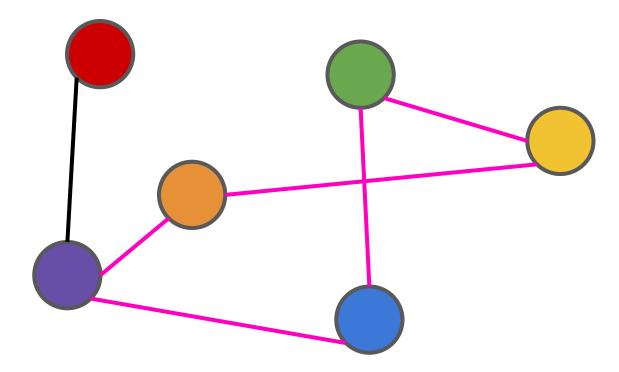
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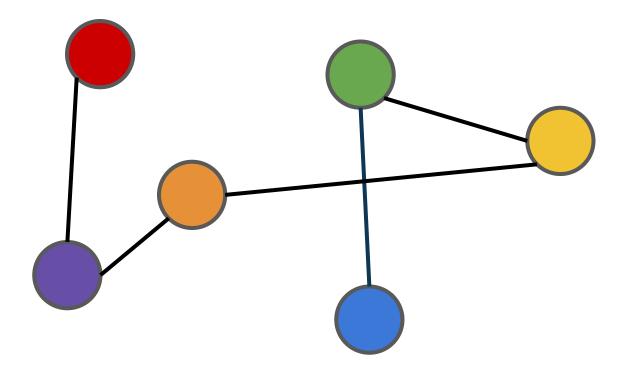
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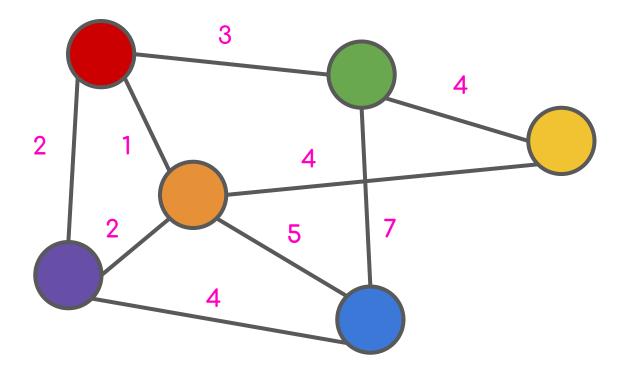
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- How is this different from the example from HW4 (minimum edge removals to make a graph bipartite?)
  - A tree is bipartite, but not every bipartite graph is a tree.

#### What if the edges are weighted?



How can we find the tree with the lowest total weight? i.e. the Minimum Spanning Tree

#### Why MSTs?



- Network design
  - Connecting cities with roads/electricity/telephone/...
- cluster analysis
  - eg, genetic distance
- image processing
  - eg, image segmentation
- Useful primitive
  - for other graph <u>algs</u>



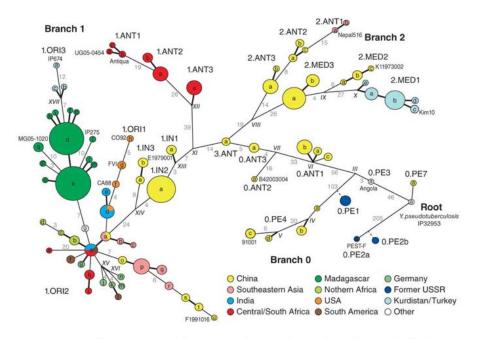
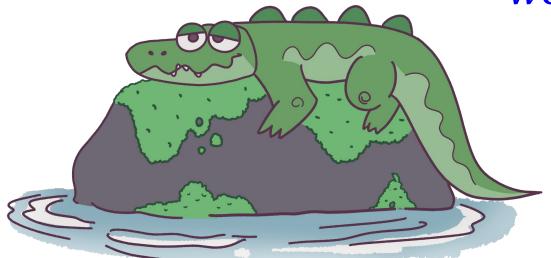


Figure 2: Fully parsimonious minimal spanning tree of 933 SNPs for 282 isolates of Y. *pestis* colored by location. Morelli et al. Nature genetics 2010

## How to find MSTs?

This is Waverly's dream! It turns out that almost any natural greedy idea works.

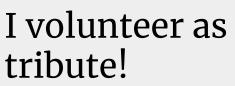






#### ...Prim's Algorithm!





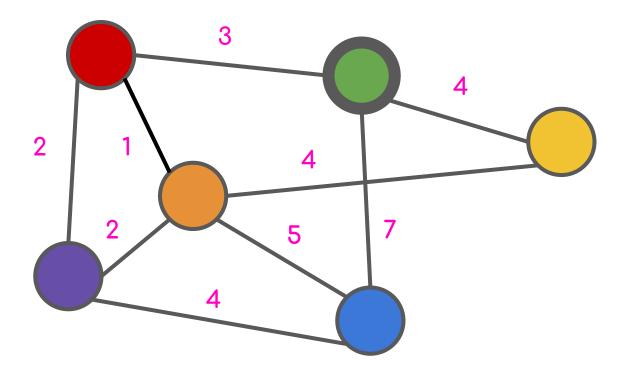


#### ...Prim's Algorithm!

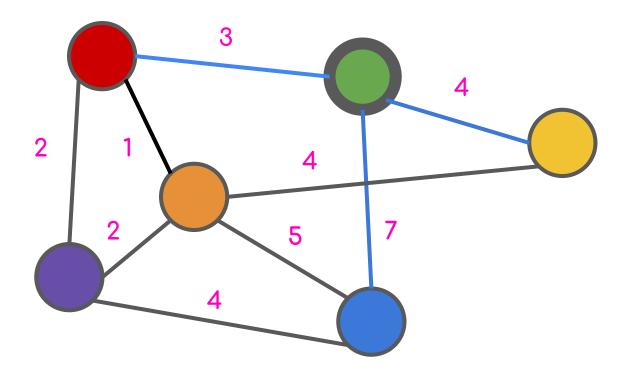
# I volunteer as tribute!

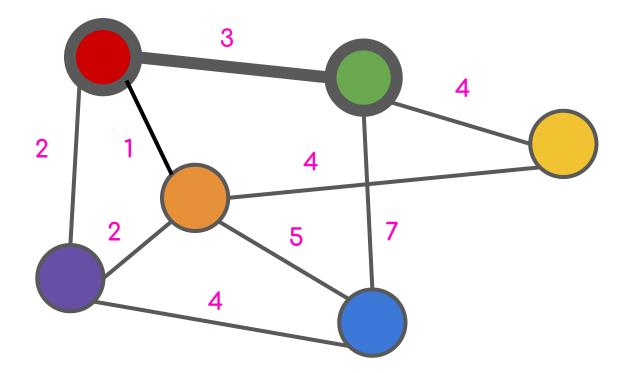


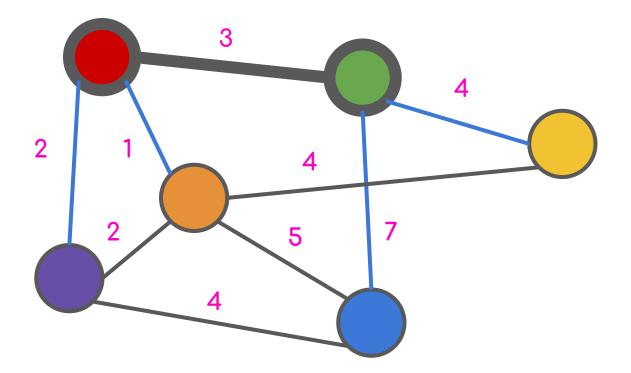
#### ...Jarník's Algorithm!

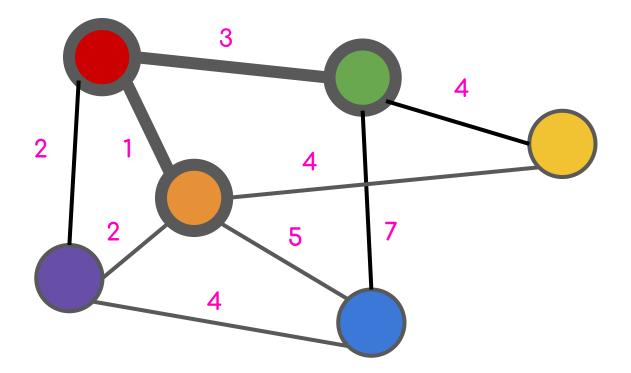


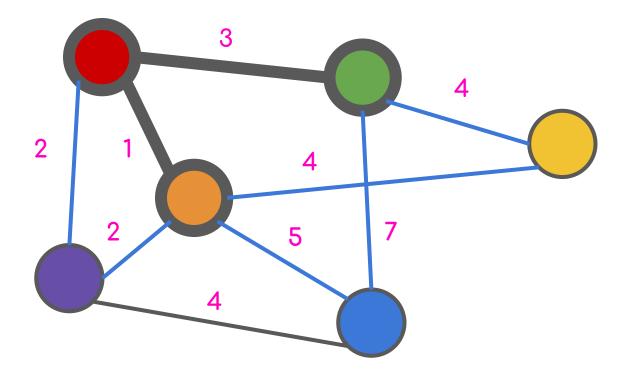
Choose an arbitrary starting vertex.

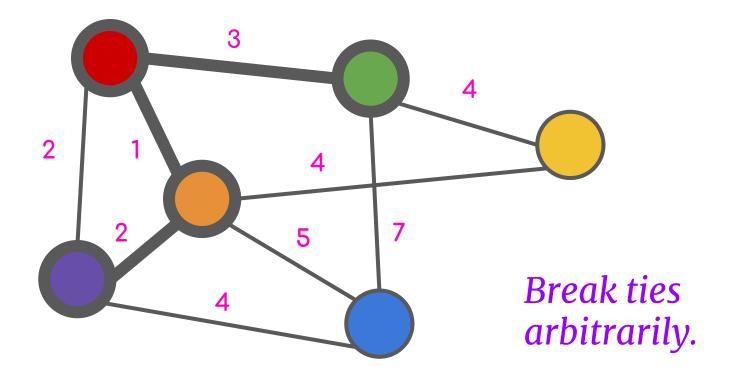


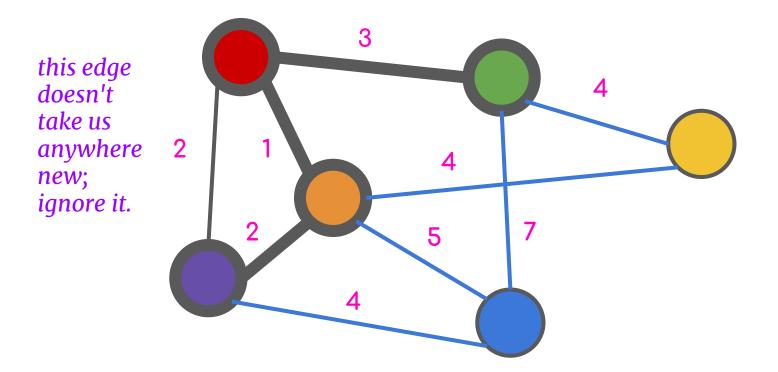


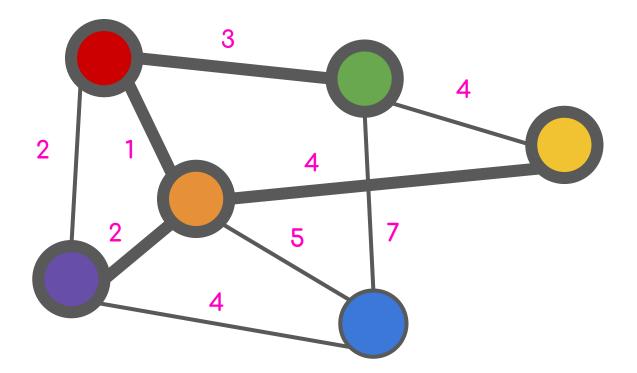


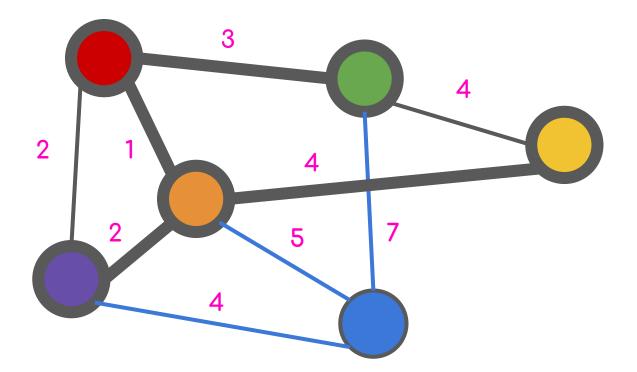


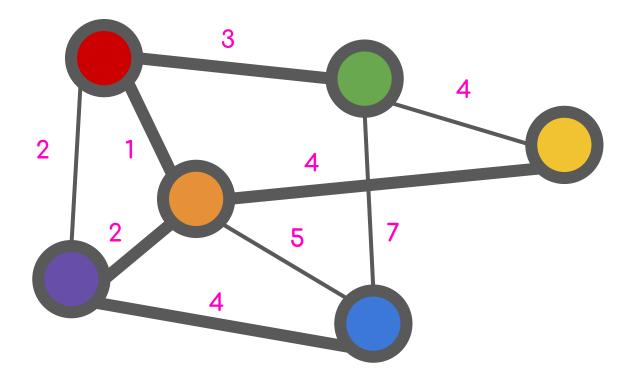


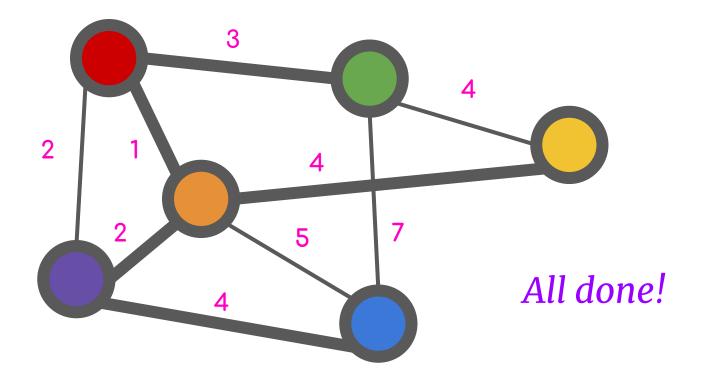




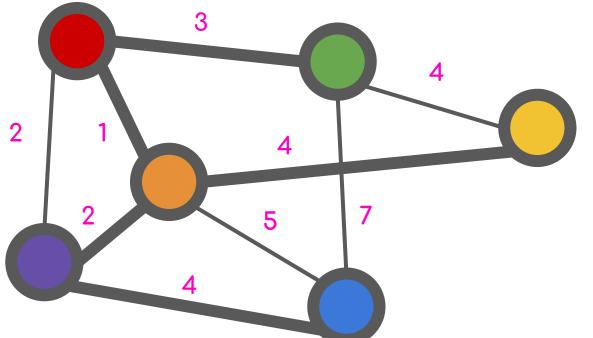




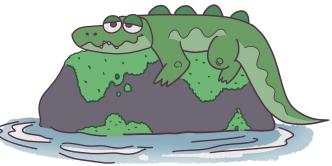




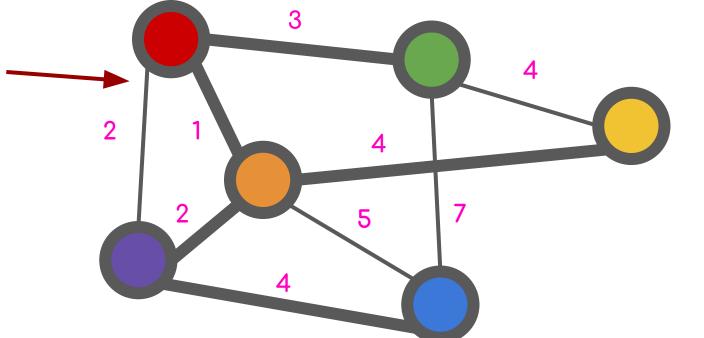
#### Wait a minute...



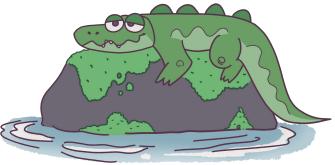
Does finding an MST also give us all pairs shortest paths?

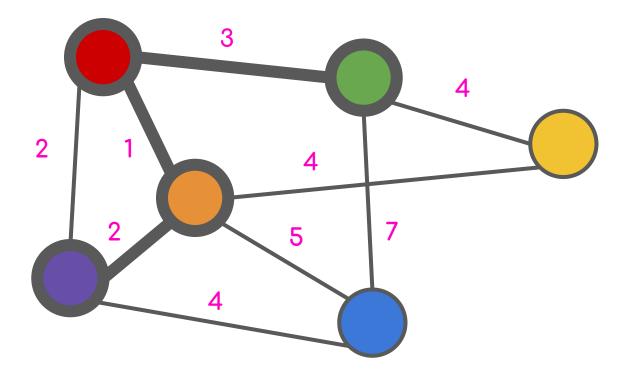


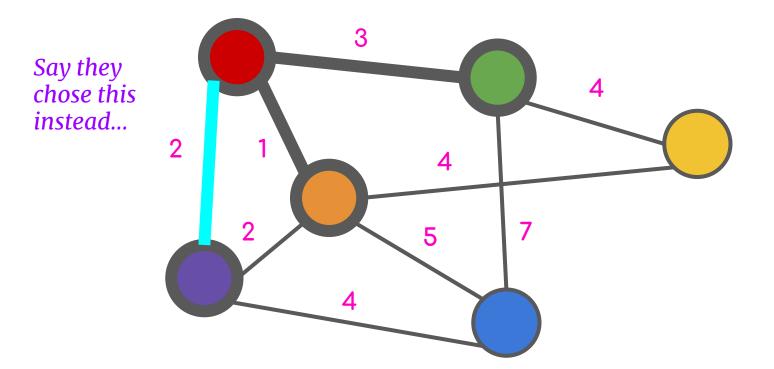
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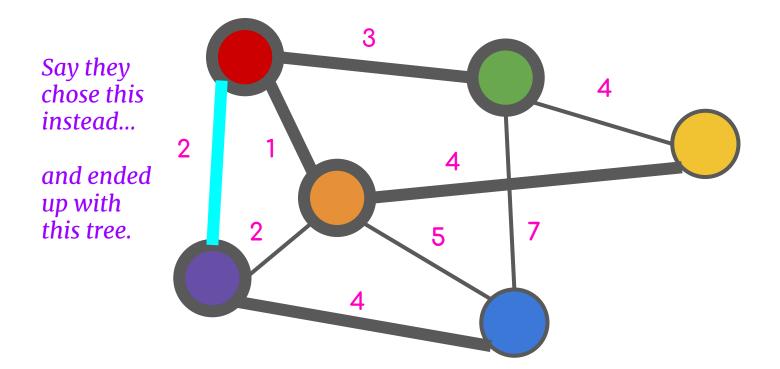


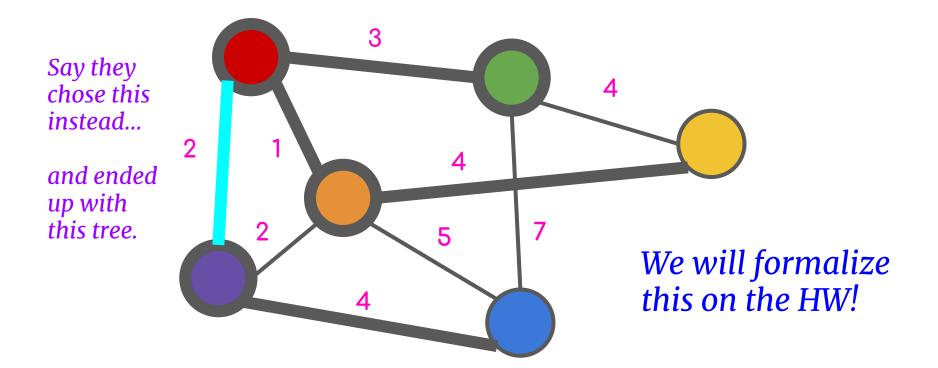
Does finding an MST give us all pairs shortest paths? Not necessarily.



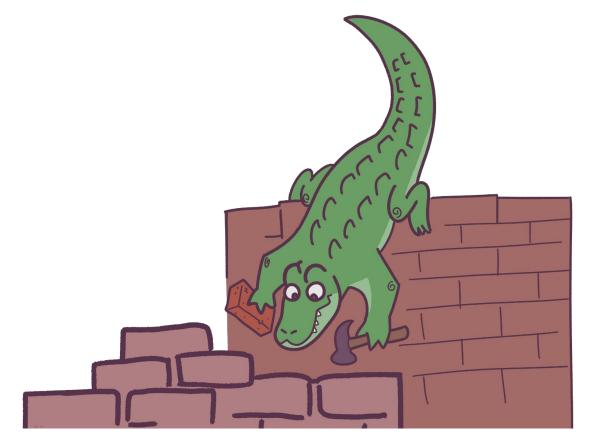






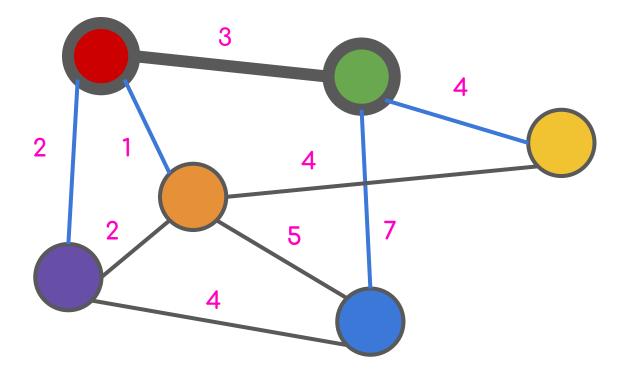


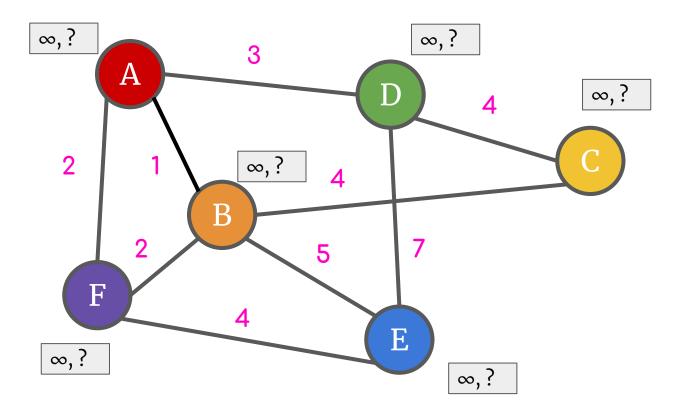
## OK, but



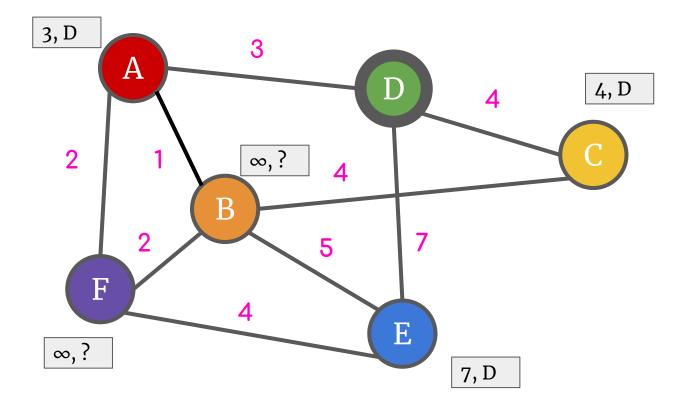
#### how do we implement it?

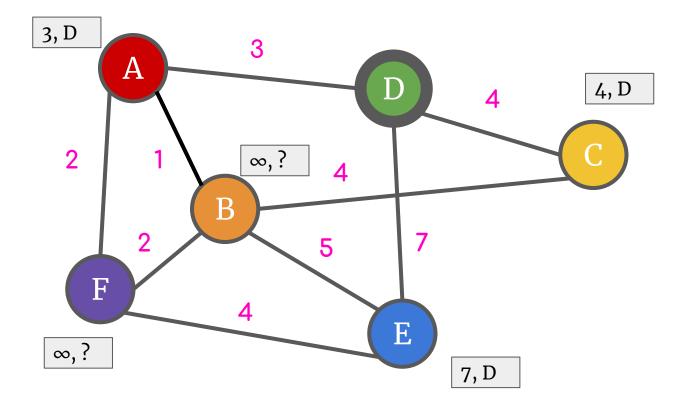
#### How did we know what was "next" here?



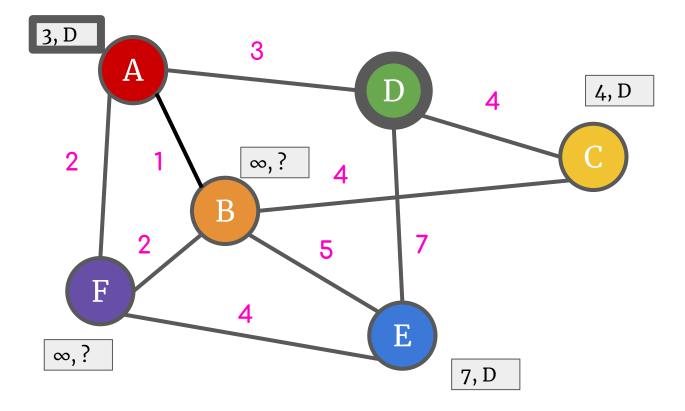


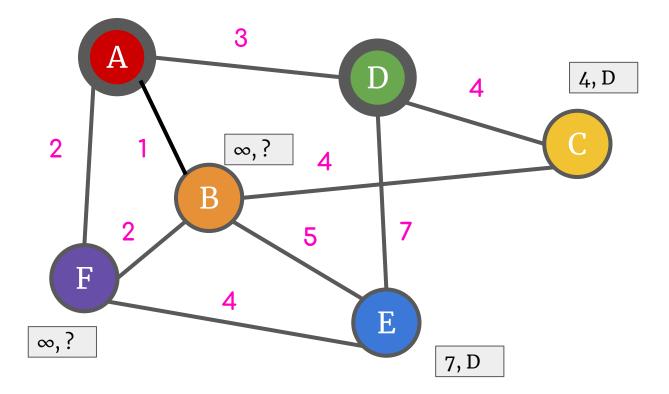
Now each vertex will know which of the MST vertices it is closest to.

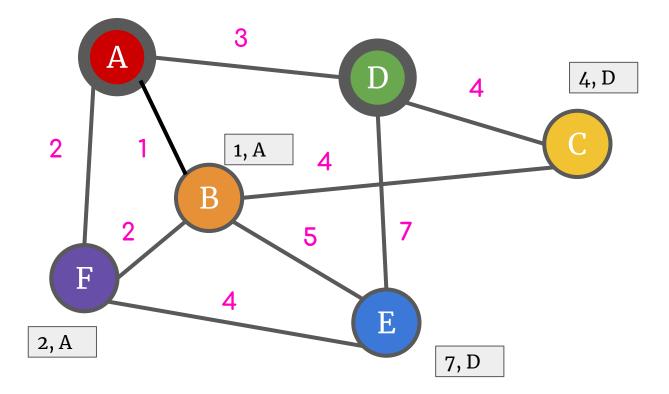


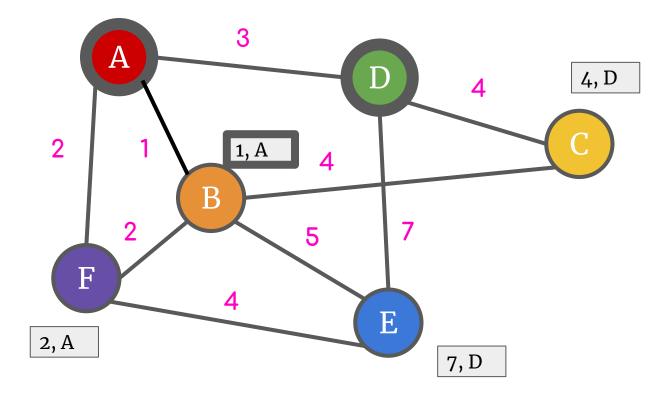


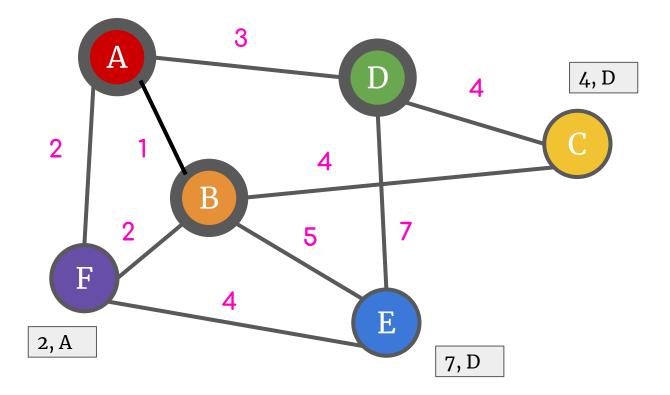
We need a way to find the minimum estimates. How about a heap?

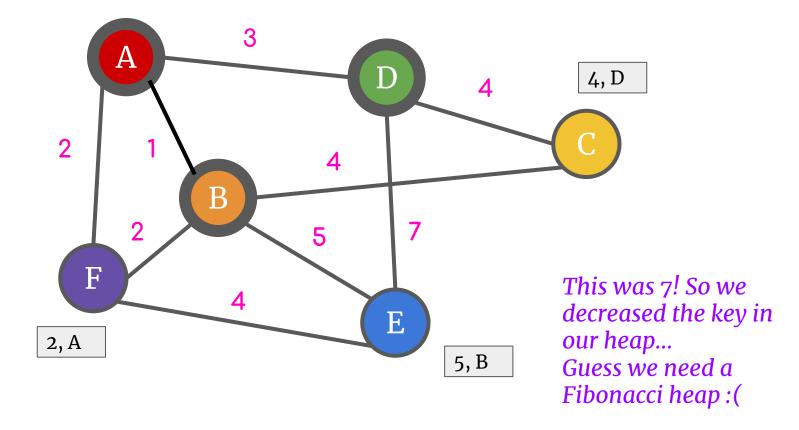












## Prim's Algorithm implementation

- Uses a Fibonacci heap to run in O(*n* log *n* + *m*) time.
  - Here, the heap is keeping track of which vertex that we haven't used yet is closest to some vertex we have used.
- **Extremely** reminiscent of Dijkstra's!
- Was actually rediscovered by Dijkstra. (supposedly called Prim-Dijkstra sometimes... especially tough for Jarník!)

### A fun demo

the animation on the Wikipedia page!

(note: in this example, there is an implicit edge between *every* two points, with a weight equal to their distance apart.)

# **Other MST algorithms**

- Kruskal's: start with nothing, keep adding the cheapest edge that doesn't create a cycle
   we'll see this on HW6!
- Reverse deletion: reverse of Kruskal's (also, confusingly, discovered by Kruskal)
- Boruvka's: add a bunch of edges at once
- Mixes, parallelizations, etc. of those three
- Hot topic: *Approximate* spanners